



Attorney Docket: 014033-000037

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Ross L. Stevens  
Serial Number: 10/711,889  
Filed: October 12, 2004  
Group Art Unit: 3624  
Examiner: Unassigned

Confirmation No. 5888

For: METHOD AND SYSTEM FOR BLOCK TRADING OF SECURITIES

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.56 AND 37 C.F.R. § 1.97**

It is respectfully requested that the document(s) listed on the attached Form PTO/SB/08A be considered by the Patent and Trademark Office in the above-referenced application and made of record therein. Full text copies of the relevant documents are enclosed.

Each item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this information disclosure statement. 37 CFR § 1.97(e)(1).

Respectfully submitted,

By:

Date

1/12/06

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**CERTIFICATE OF MAILING**

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Patricia L. Pontello



JAN 18 2006

PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>		Application Number	10/711,889
		Filing Date	October 12, 2004
		First Named Inventor	Ross L. Stevens
		Art Unit	3624
		Examiner Name	
Sheet	1	of	<<TEXT>>
		Attorney Docket Number	
		014033-000037	

## **U.S. PATENT DOCUMENTS**

## **FOREIGN PATENT DOCUMENTS**

FOREIGN PATENT DOCUMENTS					
Examiner Initials'	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Country Code <sup>3</sup> —Number <sup>4</sup> —Kind Code <sup>6</sup> (if known)			

## **NON PATENT LITERATURE DOCUMENTS**

NONPATENT EXTERNCODE DOCUMENTS		
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	AB	Stevens et al., "International Application No. PCT/US05/14663", <u>Written Opinion</u> , (Jan. 5, 2006)
	AC	Stevens et al., "International Application No. PCT/US05/14663", <u>International Search Report</u> , (Jan. 5, 2006)

Examiner Signature		Date Considered	
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**\*EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

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